

Behavioral Health is Essential To Health



Prevention Works



Treatment is Effective



People Recover



Division of Grants Management

Drug Free Communities (DFC) Support Program
SAMHSA's Center for Substance Abuse Prevention

Karen Warner, Grants Management Specialist
Division of Grants Management (DGM)



Grants Management Specialists

3

❖ Zekiea Jones
Grants Management Specialist
(240) 276-1433 Office
(240) 276-1420 Fax
Zekiea.Jones@samhsa.hhs.gov

❖ Erwin Morales
Grants Management Specialist
(240) 276-1425 Office
(240) 276-1420 Fax
Erwin.Morales@samhsa.hhs.gov

❖ Olivia Cline-Thomas
Grants Management Specialist
(240) 276-1413 Office
(240) 276-1420 Fax
Olivia.ClineThomas@samhsa.hhs.gov

❖ Karen Warner
Grants Management Specialist
(240) 276-1426 Office
(240) 276-1420 Fax
Karen.Warner@samhsa.hhs.gov

❖ Latosha Mathis
Grants Management Specialist
(240) 276-1518 Office
(240) 276-1420 Fax
Latosha.Mathis@samhsa.hhs.gov

Topics of Presentation

4

- ✓ *Division of Grants Management (DGM)*
- ✓ *Budget*
- ✓ *Match/Cost Sharing*
- ✓ *Indirect Costs*
- ✓ *Notice of Award (NoA)*
- ✓ *Post Award Actions/Prior Approval Requests*
- ✓ *Continuation Applications*
- ✓ *Closeout*

Division of Grants Management (DGM)

5

The Division of Grants Management coordinates the business, administrative and financial aspects of the Federal grant process, and maintains the official grant file

- Administer Awards
- Monitor post award activities
- Closeout

BUDGET

6

- A Budget is an estimate and itemized calculation of expected expenses and/or income for a given period.
- There is one (12 mos.) Budget Period for each year of the five year project period. The Budget Period for FY14 new DFC Grantees is 9/30/14 - 9/29/15.
- Budget Revisions are discussed under Post Award Actions in the Notice of Award.
- All DFC grantee budgets must meet the following four tests:
Reasonable, Allowable, Allocable, Consistency
- Your budget includes direct & indirect costs.

SAMPLE BUDGET

Provide the total proposed project period and federal funding as follows:

Proposed Project Period

a. Start Date:	09/30/2014	b. End Date:	09/29/2019
----------------	------------	--------------	------------

Table 19: BUDGET SUMMARY

Category	Federal Request	Non – Federal Request	Total
Personnel	\$52,765	\$1,338	\$54,53
Fringe	\$5,896	\$275	\$11,171
Travel	\$6,012	\$1,556	\$7,568
Equipment	\$0	\$0	\$0
Supplies	\$3,674	\$1,348	\$5,022
Contractual	\$28,608	\$73,600	\$102,208
Other	\$18,519	\$46,883	\$65,402
Total Direct Costs	\$120,474	\$125,000	\$245,474
Indirect Costs	\$4,526	\$0	\$4,526
Total Project Costs	\$125,000	\$125,000	\$250,000

The federal dollars requested for all object class categories for the first 12-month period are entered on Form 424A, Section B, Column 1, line 6a-6i.

Direct Costs

- Direct costs include, but are not limited to, salaries, travel, equipment, and supplies directly benefiting the grant-supported project or program.
- Direct costs are costs that can be identified specifically with a particular award, project or program, service, or other organizational activity or that can be directly assigned to such an activity with a high degree of accuracy.

Indirect Costs

Indirect costs (also known as “facilities and administrative costs”) are:

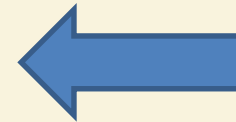
- Costs that are incurred for common or joint objectives and cannot be readily identified with a particular final cost objective for the project, program, or organizational activity.
- **Research rates are unacceptable**
- Indirect costs may be charged as a direct cost if a rate agreement is **NOT** available.

Reference the Grants Policy Statement Section I-23 for detailed Information on the budget and Allocation of Costs via:
<https://rates.psc.gov/fms/dca/map1.html>

Match/Cost Sharing

Grantees must specify the following matching percentages :

- Year 1-6 **100%** of total Federal award
- Year 7-8 **125%** of total Federal award
- Year 9-10 **150%** of total Federal award



Match/Cost Sharing

11

Match is the grantee share of the project costs. Match may either be “in-kind” or “cash.” In-kind match includes the value of donated services. Cash match includes actual cash spent by the grantee and must have a cost relationship to the Federal award that is being matched.

- Costs that are not allowable, can not be claimed as a match
- Match funds must meet the four budget tests

Reference the Grants Policy Statement Section II-47 for guidance on valuation of donated goods and services. You can access this document through <http://www.samhsa.gov/grants/grants-management/policies-regulations/hhs-grants-policy-statement>

Notice of Award (NoA)

12

The NoA is the official, legally binding document, signed by a Grants Management Officer that:

- Officially notifies an applicant, now the grantee, that they have been awarded a Federal grant.
- Contains or references all the terms and conditions of the grant and Federal funding limits and obligations; and,
- Provides the documentary basis for recording the financial and programmatic obligations.

These are the legally binding requirements for all grant grantees. By drawing funds from the Payment Management system, the grantee agrees to the Terms and conditions of the award.

Making Post Award Changes To Your Grant

13

- Post award changes to your grant award or other aspects of your approved application during the year to accomplish certain programmatic objectives. This is defined as a post award change. See the 2014 DFC Grantee Handbook.
- Prior approval is required for a number of circumstances that are outlined in Section II-49 of the HHS Grants Policy Statement available at: <http://www.samhsa.gov/grants/grants-management/policies-regulations/hhs-grants-policy-statement>
- Failure to obtain prior approval, when required, may result in the disallowance of costs, termination of an award, or other enforcement action.

Post Award Requests

14

Prior approval means written approval by the authorized official evidencing consent prior to a budgetary or programmatic change in the award. All prior approval requests should be made at least 30 days before action is to occur. Both the GMS & PO must approve all Post Award Requests.

■ Standard Post Award Administrative Changes

- ✓ Change in Project Director or Program Coordinator
- ✓ Change in Percent of Effort or Level of Work (by Key Personnel)
- ✓ Significant Change in Budget (over 25%)
- ✓ Change in Scope of Work
- ✓ Carryover of unspent funds **over 10%** require a prior approval request
(See Terms and Conditions of Award for more details)

Requests are not considered approved until a revised Notice of Award is issued.

Post Award Requests Continued

15

- **Change in Key Personnel or level of Effort-**

Grantees are required to notify their Grants Management Specialist (GMS), in writing, if key personnel specifically named in the NoA will withdraw from the project entirely, be absent from the project during any continuous period of 3 months or more, or change time devoted to the project by 25 percent or more from the level that was approved at the time of award.

- **Change of Scope-**

A change in scope occurs when the grantee proposes to change the objectives, aims, or purposes identified in the approved application. Grantees are required to obtain prior approval.

Post Award Requests Continued

16

- **Significant Re-budgeting -**

Significant re-budgeting occurs when cumulative transfers among direct cost budget categories for the current budget period exceed 25% of the total approved budget (which includes direct & indirect costs when chargeable to Federal funds for that budget period).

- **Carry-Over Requests-**

EXPANDED AUTHORITY - Grantees requesting up to 10% of the total Federal share from the current budget period are not required to get prior approval, provided that they are not classified as high risk. Annual FFR deadline by January 30, 2015

FORMAL SUBMISSION – Grantees requesting over the 10% are required to submit their detailed prior approval request to their GMS. The annual FFR deadline is January 30, 2015. The deadline for submitting your formal Carryover request is the first Monday in Feb., Any missing component WILL delay the award action

How to Request Post Award Actions

17

- **Requests must include the following:**

- ✓ Grant number
- ✓ Grantee name and address
- ✓ Signature of authorized official of the grantee organization;
- ✓ Co-signature of business official
- ✓ Supporting documents

- **Request Letter-**

Indicate in the letter the bona-fide need of the revision; provide a detailed description of the changes within the budget and what budget categories will be affected and why.

How to Request Post Award Actions Continued.

18

- **SF 424A: Budget Information Form:**
Detail budget modification by category.
- **Budget Narrative Justification:**
Provide a breakdown of all costs. Please note that the budget must not exceed the original authorized amount. All budgets should be in dollar amounts only. Do not include cents.
- If requesting a change in indirect cost, provide current Indirect Cost (IDC) Rate Agreement.

Notify SAMHSA as soon as such information (IDC) is known.

How to Request Post Award Actions Continued.

19

- When prior approval is required, the usual time it must be requested is no later than 30 days before the proposed change as specified in the Terms and Conditions of your NoA.
- Any missing component WILL delay the award action.
- Post award changes can be submitted by mail, fax, or scanned/emailed to your Grants Management Specialist. Requests are typically processed within 30 business days after receipt. Incomplete requests will delay the process procedure.
- Refer to the SAMHSA website, or the DFC Handbook for detailed information on submitting post award changes via mail, fax or e-mail.

Continuation Applications

20

- Letters will be sent electronically to the Business Officials regarding the continuation application process
- Grantee submits continuation application by due date
Project Officer and Grant Management Specialist reviews application
- Project Officer and Grant Management Specialist consults with grantee
- Grantee receives Notice of Award prior to start date

Closeout

Closeout is the final phase of the budget /project period end date.

The Office of Financial Advisory Service (OFAS) will notify grantee's 30 days prior to the end of the budget and project period end date – 09/29/2019.

Grantees are required to submit the following:

- Final reports- program and financial
- Reimbursements of any unexpended funds
- Accounting of property and equipment

Useful Websites

22

- **CADCA Coalition Institute:**
<http://www.cadca.org>
- **Federal Cash Transactions Report (formerly PSC 272):**
<http://www.dpm.psc.gov>
- **Federal Financial Report (SF 425):**
http://www.whitehouse.gov/sites/default/files/omb/assets/grants_forms/SF-425.pdf
- **Grants Policy Statement:**
<http://www.samhsa.gov/grants/grants-management/policies-regulations/hhs-grants-policy-statement>

Useful Websites

23

- **Office of National Drug Control Policy (ONDCP):**
<http://www.whitehouse.gov/ondcp>
- SAMHSA's National Clearinghouse on Alcohol and Drug Information (NCADI) : <http://ncadi.samhsa.gov/>
- **SAMHSA Grants Management:**
<http://www.samhsa.gov/Grants/management.aspx>
- System for Award Management (SAM) <https://www.sam.gov>
- U.S. General Services Administration (GSA): www.gsa.gov

QUESTIONS????

24

Grants Management Contact:

Virginia Simmons

Grants Management Officer

Division of Grants Management

Substance Abuse Mental Health Services Administrations (SAMHSA)

(240) 276-1422 Office

(240) 276-1420 Fax

Virginia.Simmons@SAMHSA.HHS.Gov

**You may also contact a Grants Management Specialist
for any grants questions.**